

Rec'd PCT/PTO 20 JAN 2006
10/530393

DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION*

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. beneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF ✓

and for which a patent application:

☐ is attached hereto and includes amendment(s) filed on (if applicable)

☒ was filed in the United States as Application No. 10/530,393, ✓
with amendment(s) filed on April 4, 2005 ✓

☒ was filed as PCT international Application No. PCT/US2003/032167 on October 7, 2003 and was amended under PCT Article 19 on

I hereby authorize and request my attorneys at Jones Day to insert herein parentheses (Application No. _____ filed _____) the filing date and application number of said application when known.

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION				
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED	
			YES <input type="checkbox"/>	NO <input type="checkbox"/>
			YES <input type="checkbox"/>	NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

PROVISIONAL APPLICATION NUMBER	FILING DATE
60/416,821 ✓	October 7, 2002 ✓

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

* for use only when the application is assigned to a company, partnership or other organization.

10/530393

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

1-00 2 0 1	FULL NAME OF INVENTOR	LAST NAME <u>LeClair</u>	FIRST NAME <u>Kenneth</u> <i>KPL</i>	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY <u>Needham</u> <i>MA</i>	STATE OR FOREIGN COUNTRY <u>Massachusetts</u>	COUNTRY OF CITIZENSHIP <u>U.S.A.</u> ✓	
	POST OFFICE ADDRESS	STREET <u>46 Morton Street</u>	CITY <u>Needham</u>	STATE OR COUNTRY <u>Massachusetts</u>	ZIP CODE <u>02494</u>
	SIGNATURE OF INVENTOR 201 <i>Kenneth P. LeClair</i>			DATE <u>12/16/2005</u>	
2 0 2	FULL NAME OF INVENTOR	LAST NAME <u>Srivastava</u>	FIRST NAME <u>Pramod</u>	MIDDLE NAME <u>K.</u>	
	RESIDENCE & CITIZENSHIP	CITY <u>Avon</u>	STATE OR FOREIGN COUNTRY <u>Connecticut</u>	COUNTRY OF CITIZENSHIP <u>U.S.A.</u>	
	POST OFFICE ADDRESS	STREET <u>70 Pleasant Run</u>	CITY <u>Avon</u>	STATE OR COUNTRY <u>Connecticut</u>	ZIP CODE <u>06001</u>
	SIGNATURE OF INVENTOR 202			DATE	
2 0 3	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 203			DATE	
2 0 4	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 204			DATE	
2 0 5	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 205			DATE	

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10/530393

DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION*

As a below named inventor, I hereby declare that:

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I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF. ✓

and for which a patent application:

☐ is attached hereto and includes amendment(s) filed on (if applicable)

☒ was filed in the United States as Application No. 10/530,393, ✓
with amendment(s) filed on April 4, 2005 ✓

☒ was filed as PCT international Application No. PCT/US2003/032167 on October 7, 2003 ✓ and was amended under PCT Article 19 on

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I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

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EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION				
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED	
			YES <input type="checkbox"/>	NO <input type="checkbox"/>
			YES <input type="checkbox"/>	NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

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NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

* for use only when the application is assigned to a company, partnership or other organization.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

2 0 1	FULL NAME OF INVENTOR	LAST NAME LeClair	FIRST NAME Ken	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY Needham	STATE OR FOREIGN COUNTRY Massachusetts	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 46 Morton Street	CITY Needham	STATE OR COUNTRY Massachusetts	ZIP CODE 02494
	SIGNATURE OF INVENTOR 201			DATE	
2-00 2 0 2	FULL NAME OF INVENTOR	LAST NAME Srivastava	FIRST NAME Pramod	MIDDLE NAME K	
	RESIDENCE & CITIZENSHIP	CITY Avon CT.	STATE OR FOREIGN COUNTRY Connecticut	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 70 Pleasant Run	CITY Avon	STATE OR COUNTRY Connecticut	ZIP CODE 06001
	SIGNATURE OF INVENTOR 202			DATE 12/20/05	
2 0 3	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 203			DATE	
2 0 4	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 204			DATE	
2 0 5	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
	SIGNATURE OF INVENTOR 205			DATE	

10/530393

EXPRESS MAIL NO.: EV 531 712 336 US

POWER OF ATTORNEY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:	Pramod Srivastava and Ken LeClair	Confirmation No.:	6248
Serial No.:	10/530,393, national stage of PCT/US03/32167	Art Unit:	To be assigned
Filed:	October 7, 2003	Examiner:	To be assigned
For:	HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF	Attorney Docket No.:	8449-304-999
		CAM:	708584-999303

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71
WITH STATEMENT UNDER 37 C.F.R. 3.73(b)**

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned co-assignee with the University of Connecticut Health Center of the entire interest in the above-identified subject application hereby appoints Practitioners at Customer Number 20583 all of Jones Day, whose address is 222 East 41st Street, New York, New York 10017, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71.

Please direct all correspondence for this application to Customer no. 20583.

Statement Under 37 C.F.R. 3.73(b)

Antigenics, Inc. states that it is:

- ☒ the co-assignee with the University of Connecticut Health Center of the entire right, title, and interest; or
- ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is %

in the patent application/patent identified above by virtue of either:

- ☒ An assignment from the inventor(s) of the patent application/patent identified above. A copy of the assignment is being submitted concurrently for recordation pursuant to 37 CFR § 3.11.

OR

- ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: To:
The document was recorded in the United States Patent and Trademark Office on

at Reel , Frame , or for which a copy thereof is attached.

2. From: To:
The document was recorded in the United States Patent and Trademark Office on
at Reel , Frame , or for which a copy thereof is attached.

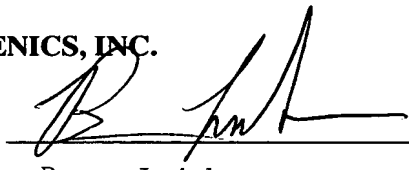
3. From: To:
The document was recorded in the United States Patent and Trademark Office on
at Reel , Frame , or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.
[Note: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

ASSIGNEE: ANTIGENICS, INC.

Date: December 16, 2005 Signature: 
Typed Name: Bruce Leicher
Position/Title: Vice President and General Counsel

POWER OF ATTORNEY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod Srivastava and
Ken LeClair

Confirmation No.: 6248

Serial No.: 10/530,393, national stage of
PCT/US03/32167

Art Unit: To be assigned

Filed: October 7, 2003

Examiner: To be assigned

For: HEAT SHOCK PROTEIN BINDING
FRAGMENTS OF CD91, AND USES
THEREOF

Attorney Docket No.: 8449-304-999
CAM: 708584-999303

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71
WITH STATEMENT UNDER 37 C.F.R. 3.73(b)**

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

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Please direct all correspondence for this application to Customer no. 20583.

Statement Under 37 C.F.R. 3.73(b)

The University of Connecticut Health Center states that it is:

- ☒ the co-assignee with Antigenics, Inc. of the entire right, title, and interest; or
☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is %

in the patent application/patent identified above by virtue of either:

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A copy of the assignment is being submitted concurrently for recordation pursuant to
37 CFR § 3.11.

OR

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to the current assignee as shown below:

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10/530393

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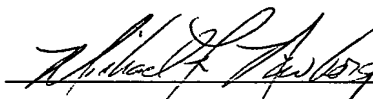
The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

ASSIGNEE: UNIVERSITY OF CONNECTICUT HEALTH CENTER

Date:

Dec. 22, 2005

Signature:



Typed Name:

Michael F. Newborg, Ph.D.

Position/Title:

Executive Director

ASSIGNMENT

WHEREAS, I, **Pramod K. Srivastava**, ASSIGNOR, citizen of India, residing at 70 Pleasant Run, Avon, Connecticut 06001, am the co-inventor with Ken LeClair of the invention in **HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF** for which I have executed an application for a Patent of the United States

- ☒ which is identified by Jones Day docket no. 8449-304-999
☒ which is Application No. 10/530,393, national stage of PCT/US2003/032167 filed on October 7, 2003

and WHEREAS, **UNIVERSITY OF CONNECTICUT HEALTH CENTER**, ASSIGNEE, an institute of higher education of the State of Connecticut, having an address at 263 Farmington Avenue, Farmington, Connecticut 06030, is desirous of obtaining my entire right, title and interest in, to and under the said invention and the said application:

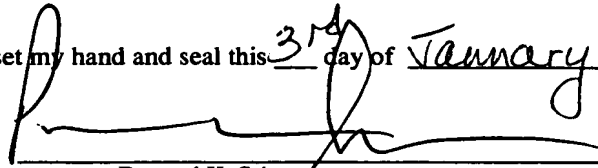
NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the said ASSIGNOR, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, my entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND I HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

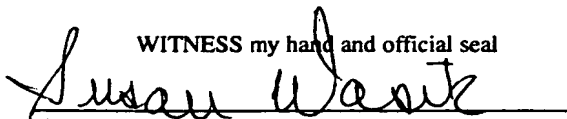
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 3rd day of January, 2006


 _____ L.S.
 Pramod K. Srivastava

State of CT)
 County of Hartford) ss.: Farmington

On Jan. 3rd, 2006, before me, Susan Wasik, Notary Public, personally appeared **PRAMOD K. SRIVASTAVA**, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal



My Commission Expires
 January 31, 2010

10/530393 SOLE

ASSIGNMENT

KENNETH

WHEREAS, I, ~~Ken~~ **LeClair**, ASSIGNOR, citizen of the United States, residing at 46 Morton Street, Needham, Massachusetts, am the co-inventor with Pramod Srivastava of the invention in HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF for which I have executed an application for a Patent of the United States

- ☒ which is identified by Jones Day docket no. 8449-304-999
☒ which is Application No. 10/530,393, national stage of PCT/US2003/032167, filed October 7, 2003

and WHEREAS, ANTIGENICS, INC., ASSIGNEE, a Delaware corporation, having a place of business at 630 Fifth Avenue, Suite 2100, New York, New York 10011, is desirous of obtaining my entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the said ASSIGNOR, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, my entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND I HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 14 day of December, 2005

Kenneth P. LeClair

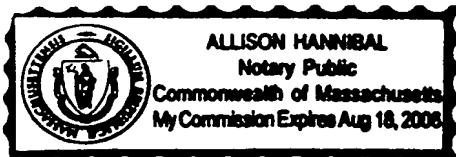
 Ken LeClair

L.S.

State of Massachusetts) SS.:
County of Middlesex)

KENNETH On December 14, 2005, before me, Kenneth P. LeClair, Notary Public, personally appeared ~~KEN~~ **LE CLAIR**, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal



10/530393

Express Mail No. EV 531 712 336 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:	Kenneth P. LeClair and Pramod K. Srivastava	Confirmation No.:	6248
Serial No.:	10/530,393 (national stage of PCT/US03/32167 filed October 7, 2003)	Art Unit:	To be assigned
Filed:	October 7, 2003	Examiner:	To be assigned
For:	HEAT SHOCK PROTEIN BINDING FRAGMENTS OF CD91, AND USES THEREOF	Attorney Docket No:	8449-304-999

TRANSMITTAL OF POWER OF ATTORNEY

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith (1) a Power of Attorney executed by Michael F. Newborg, Ph.D., Executive Director, of the University of Connecticut Health Center, and (2) a Power of Attorney executed by Bruce Leicher, Vice President and General Counsel, of Antigenics, Inc. The University of Connecticut Health Center and Antigenics, Inc. are the co-assignees of the entire interest in the above-identified patent application. Also submitted herewith are (i) a copy of an executed Assignment from Pramod K. Srivastava to the University of Connecticut Health Center and (ii) a copy of an executed Assignment from Kenneth P. LeClair to Antigenics, Inc. A copy of each of the executed Assignments is being concurrently submitted for recordation pursuant to 37 C.F.R. § 3.11.

Applicants request that the two Powers of Attorney be made of record in the file of the above-identified patent application.

Applicants believe that no fee is due for this submission. However, if a fee is due, please charge the required amount to Jones Day Deposit Account No. 50-3013.

Respectfully submitted,

Date: January 20, 2006


Adriane M. Antler 32,605
(Reg. No.)

JONES DAY
222 East 41st Street
New York, New York 10017
(212) 326-3939